

031604

16179 U.S. PTO

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	8729-233 (SS-19618-US)
First Inventor	Jong-Ho KIM
Title	SYSTEM AND METHOD FOR CONTROLLING..
Express Mail Label No.	EV413370487US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 18]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patent  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: (2) Credit Card Payment Forms

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**


Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)



Correspondence address below

Name	Frank Chau				
Address	F. CHAU & ASSOCIATES, LLC				
	1900 Hempstead Turnpike, Suite 501				
City	East Meadow	State	New York	Zip Code	11554
Country	U.S.A	Telephone	(516) 357-0091	Fax	(516) 357-0092

Name (Print/Type)	Frank Chau	Registration No. (Attorney/Agent)	34,136
Signature		Date	3/16/04

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 1,206.00

**Complete if Known**

Application Number	
Filing Date	March 16, 2004
First Named Inventor	Jong-Ho KIM
Examiner Name	
Art Unit	
Attorney Docket No.	8729-233 (SS-19618-US)

**METHOD OF PAYMENT** (check all that apply)
☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account:Deposit Account Number  
50-0679Deposit Account Name  
F.CHAU & ASSOCIATES, LLC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 770.00

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims		Fee from below	Fee Paid
Total Claims	42	-20** =	22	X 18	= 396
Independent Claims	3	-3** =	0	X 86	= 0
Multiple Dependent				290	=

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ 396.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	Frank Chau	Registration No. (Attorney/Agent)	34,136	Telephone	516-357-0091
Signature		Date	3/16/04		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**PATENT**

Atty. Docket No. 8729-233 (SS-19618-US)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**APPLICATION FEE TRANSMITTAL**

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Jong-Ho KIM, Ki-Won CHO, Hae-Young NA, Keun-Chol  
HONG, Jong-Chul SHIN

For: SYSTEM AND METHOD FOR CONTROLLING AUDIO SIGNALS  
FOR PLAYBACK

**This application is a:**

☒ New Application

☐ Continuation

☐ Continuation-In-Part (CIP)

☐ Divisional

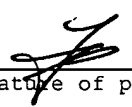
of co-pending U.S. application Serial No. \_\_\_\_\_  
filed on \_\_\_\_\_.

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**CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date March 16, 2004 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV413370487US addressed to: Commissioner for Patents, Alexandria, VA 22313.

Frank Chau  
(Type or print name of person mailing paper)

  
(Signature of person mailing paper)

**Enclosed are:**

- [X] 10 page(s) of specification
- [X] 1 page(s) of Abstract
- [X] 7 page(s) of claims
- [X] 4 sheets of drawings [X] formal [ ] informal
- [X] 2 page(s) of Declaration and Power of Attorney
- [X] An Assignment of the invention to: Samsung Electronics Co., Ltd.

- [ ] This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s):

APPLICATION NO(S):

FILING DATE

- [X] Priority under Title 35 United States Code, § 119 is claimed from:

<u>Country</u>	<u>Appln. No.</u>	<u>Filed</u>
Korea	2003-50267	22 July 2003

- [X] Certified copy of which:

[ ] is enclosed

[X] will follow.

**Additional papers enclosed:**

- [ ] Preliminary Amendment  
The fees to be charged are to be based on the number of claims remaining as a result of the attached Preliminary Amendment.
- [ ] Information Disclosure Statement
- [ ] Form PTO-1449
- [ ] Other

**Fee Calculation (37 C.F.R. §1.16)**

For	Number Filed	Number Extra	Rate	Basic Fee
Total				\$ 770.00
Claims*	42	-20 = 22	x \$ 18.00	\$ 396.00
Independent				
Claims	3	-3 = 0	x \$ 86.00	\$ 0
Multiple	[ ] yes	Add'l. Fee	\$290.00	\$
Dependent				
Claims	[X] no	Add'l. Fee	None	= \$
TOTAL				<u>\$1,166.00</u>

[ ] Applicant Claims Small Entity Status Under 37  
C.F.R. § 1.27. Reduced fees under 37 C.F.R. § 1.9(f)  
(50% of total) paid herewith \$    .00.

[X] Please charge fee of \$40.00 for recording the attached  
assignment by Credit Card Payment Form PRO-2038 enclosed  
herewith.

[X] Please charge fee of \$1,166.00 to cover the filing fee by  
Credit Card Payment Form PTO-2038 enclosed herewith.

[ ] Charge fee to Deposit Account No. 50-0679. Order No.  
         TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.

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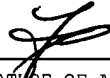
\* Includes all independent and single dependent claims and all claims referred to in multiple  
claims. See 37 C.F.R. § 1.75(c).

[X] Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. § 1.16 and/or 1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account No. 50-0679. Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend the time as required and charge Deposit Account No. 50-0679 therefor. TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.

**Relate Back - 35 U.S.C. § 120**

[ ] Amend the specification by inserting after the Title the sentence:

--This is a [ ] continuation [ ] continuation-in-part [ ] divisional of copending application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_, the disclosure of which in its entirety is incorporated-by-reference herein.--

Date: 3/16/04   
SIGNATURE OF ATTORNEY  
Frank Chau  
Reg. No. 34,136

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